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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/669,598	09/26/2000	Yoshito Fujino	JA9-99-165	4995

7590

06/17/2004

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EXAMINER
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PAULA, CESAR B

ART UNIT	PAPER NUMBER
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2178

DATE MAILED: 06/17/2004

4

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/669,598

**Applicant(s)**

FUJINO ET AL.

**Examiner**

CESAR B PAULA

**Art Unit**

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 27 January 2002.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-19 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-7 and 9-18 is/are rejected.
- 7) ☒ Claim(s) 8 and 19 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 September 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☒ None of:
- 1) ☒ Certified copies of the priority documents have been received.
  - 2) ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____  |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) <u>3</u> | 6) <input type="checkbox"/> Other:  |

### DETAILED ACTION

1. This action is responsive to the application, and IDS filed on 9/26/2000, and 11/25/2002 respectively.

**This action is made Non-Final.**

2. Claims 1-19 are pending in the case. Claims 1-3, and 9-14 are independent claims.

### *Information Disclosure Statement*

3. The information disclosure statement (IDS) submitted on has been entered, and considered by the examiner. The information disclosure statement filed 9/26/2000 fails to comply with 37 CFR 1.98(a)(3) because it does not include a concise explanation of the relevance, as it is presently understood by the individual designated in 37 CFR 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language. It has been placed in the application file, but the information referred to therein has not been considered.

### *Priority*

4. Acknowledgment is made of applicant's claim for foreign priority under 35 U.S.C. 119(a)-(d), and based on application # 11-294,993 filed in Japan on 10/18/1999, which papers have been placed of record in the file. It is noted, however, that applicant has not filed certified copies of the Japanese application as required by 35 U.S.C. 119(b).

***Drawings***

5. The drawings filed on 9/26/2000 have been approved by the examiner.

***Claim Objections***

6. Claim 1 is objected to because of the following informalities: "first electronic form adapts to coincides". This phrase better reads as: "first electronic form coincides". Appropriate correction is required.

7. Claims 16-19 are objected to under 37 CFR 1.75(c) as being in improper form because a multiple dependent claim *should refer to other claims in the alternative only, and/or, cannot depend from any other multiple dependent claim*. See MPEP § 608.01(n).

***Claim Rejections - 35 USC § 112***

8. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

9. Claims 1, and 4-8 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.
10. Claim 1 recites the limitation "the current date" in line 11. There is insufficient antecedent basis for this limitation in the claim. There is no previous date to refer to in this claim.

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***Claim Rejections - 35 USC § 103***

11. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

12. Claims 1-3, 5-7, 9-14, and 16-18 are rejected under 35 U.S.C. 103(a) as being unpatentable over Broomhall et al, hereinafter Broomhall (Pat. # 6,292,904, B1, 9/18/2001, filed on 12/16/1998), in view of "Using Paradox 5 For Windows" Special Edition, hereinafter Paradox, Que, 1994, pp. 133-139, and 526-529.

Regarding independent claim 1, Broomhall discloses an internal sponsor giving external users access to an internal database and Lotus applications for as long as a password for the external user(s) has not expired (col.4, lines 59-col.5, line 32, col.7, lines 45-col.8, line 67, fig.3, 5, and 11). The sponsor requests the external user's id, and password—*form of requesting a delegated application--* by inputting personal information, such as name, telephone number, etc. into a form, the external user's data as well —*requester specification data and proxy applicant specification data--*, the database, and database access level—*term of requesting said delegated application beforehand--*.

Moreover, Broomhall discloses an internal sponsor giving external users access to an internal database and Lotus applications for as long as a password for the external user(s) has not expired by inputting personal information, such as name, telephone number, etc. into a form. The

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external user accesses the database by entering requested password, and id (col.4, lines 59-col.5, lines 10, 48-67, col.7, lines 45-67, col.8, lines 10-67, fig.3, 5, and 11).

Additionally, Broomhall fails to explicitly disclose: *inspecting whether or not the current data adapts to said delegation term condition data*. However, it would have been obvious to a person of ordinary skill in the art at the time of the invention to have the user enter an expiration date associated with the sponsored external user, because Broomhall teaches the changing and resetting of an expired password (col.8, lines 34-67), which would provide the benefit of allowing external users secure access to a database or application have enabled the user to input the user id and password into a form, thus providing the benefit of securely accessing the database/ application only by those authorized to do so for a specified period of time.

Moreover, Broomhall discloses presenting a prompt to an external user for inputting the id, and password. If the user's id and password match those found in a in an access control list, then the user is granted access to the database or application (col.5, lines 49-67, and col.8, lines 47-67, fig. 5, 7). In other words if the id and password assigned by the sponsor to the external user match—*adapts to coincide with said form condition data of requesting a form*, where an ID, and password are needed to access the system -- those found in the control list, then based on this inspection or checking, the user is granted access to the system.

Furthermore, Broomhall fails to explicitly disclose: *accessing a first electronic form by said proxy applicant; enabling said first electronic form to be acquired if results of said inspections are acceptable*. However, Paradox teaches allowing the definition of auxiliary passwords, which allow secondary users to have different levels of control for entering data, such as inserting and deleting information, data entry, read only, etc. in tables—*forms* (pages 137-138,

page 527, lines 11-page 528, line 16). It would have been obvious to a person of ordinary skill in the art at the time of the invention to have combined the teachings of Broomhall, and Paradox to acquire said form, because this would provide the benefit of securely accessing the database application only by those authorized personnel, thereby, ensuring the integrity of the tables or forms stored in the system.

Claims 2-3 are directed towards a method equivalent to the steps found in claims 1, and therefore are similarly rejected.

Regarding claim 5, which depends any of claims 1-3, Broomhall discloses an internal sponsor using an administrative engine for giving external users access to an internal database and Lotus applications for as long as a password for the external user(s) has not expired (col.3, lines 31-67, col.4, lines 59-col.5, lines 32, 42-67, col.7, lines 45-col.8, line 67, fig.3, 5, and 11). Broomhall fails to explicitly disclose: *displaying a list of available forms*. However, Paradox teaches opening a table—*form*-- from a list on a dialog box (page 135, line 1-10, fig.6.1). It would have been obvious to a person of ordinary skill in the art at the time of the invention to have combined the teachings of Broomhall, and Paradox to acquire said form from a list, because this would provide the benefit of easily, and efficiently accessing the forms from a single interface.

Regarding claim 6, which depends on claim 5, Broomhall discloses an internal sponsor using an administrative engine for giving external users access to an internal database and Lotus applications for as long as a password for the external user(s) has not expired (col.3, lines 31-67,

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col.4, lines 59-col.5, lines 32, 42-67, col.7, lines 45-col.8, line 67, fig.3, 5, and 11). Broomhall fails to explicitly disclose: *said list of available electronic forms is decided according to an organization to which said application requester belongs*. However, it would have been obvious to a person of ordinary skill in the art at the time of the invention to have displayed the list according to an organization, because this would provide the benefit of securely accessing the corporate organization servers only by those authorized personnel, thereby, ensuring the integrity of sensitive information, such as the tables or forms stored in the system.

Regarding claim 7, which depends on claim 5, Broomhall discloses an internal sponsor using an administrative engine for giving external users access to an internal database and Lotus applications using a password—*flag* indicating authorization for external users to access to the system as delegated by the sponsor. If the user's password is found in an access control list, then the user is granted access (col.3, lines 31-67, col.4, lines 59-col.5, lines 32, 42-67, col.7, lines 45-col.8, line 67, fig.3, 5, and 11). In other words, the password indicates that the user system access is enabled to the external user as delegated by the sponsor.

Regarding independent claim 9, Broomhall discloses an internal sponsor using an administrative engine—a *directory manager that certifies a user*-- for giving external users access to an internal database and Lotus applications for as long as a password for the external user(s) has not expired (col.3, lines 31-67, col.4, lines 59-col.5, lines 32, 42-67, col.7, lines 45-col.8, line 67, fig.3, 5, and 11). The sponsor requests the external user's id, and password by inputting personal information, such as name, telephone number, etc. into a form, the external



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user's data as well —*requester specification data and proxy applicant specification data*--, the database, and database access level—*term of requesting said delegated application beforehand*--. Access control to the database, and application is granted based on whether an input id, and password are present in an access control list—*proxy applicant definition table*.

Moreover, Broomhall discloses an internal sponsor giving external users access to an internal database and Lotus applications for as long as a password for the external user(s) has not expired by inputting personal information, such as name, telephone number, etc. into a form. The external user accesses the database by entering requested password, and id (col.4, lines 59-col.5, lines 10, 48-67, col.7, lines 45-67, col.8, lines 10-67, fig.3, 5, and 11).

Additionally, Broomhall fails to explicitly disclose: *inspecting whether or not the current date coincides to said delegation term condition data*. However, it would have been obvious to a person of ordinary skill in the art at the time of the invention to have the user enter an expiration date associated with the sponsored external user, because Broomhall teaches the changing and resetting of an expired password (col.8, lines 34-67), which would provide the benefit of allowing external users secure access to a database or application have enabled the user to input the user id and password into a form, thus providing the benefit of securely accessing the database/ application only by those authorized to do so for a specified period of time.

Moreover, Broomhall discloses presenting a prompt to an external user for inputting the id, and password. If the user's id and password match those found in a in an access control list, then the user is granted access to the database or application (col.5, lines 49-67, and col.8, lines 47-67, fig. 5, 7). In other words if the id and password assigned by the sponsor to the external user match—*coincides with said form condition data*, where an ID, and password are needed to

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access the system -- those found in the control list, then based on this inspection or checking, the user is granted access to the system.

Furthermore, Broomhall fails to explicitly disclose: *a blank form collector accessing a first electronic form by said proxy applicant; enabling said first electronic form to be acquired if results of said inspections are acceptable.* However, Paradox teaches a database application allowing the definition of auxiliary passwords-- *a blank form collector accessing a first electronic form by said proxy applicant* using the auxiliary passwords-- which allow secondary users to have different levels of control for entering data, such as inserting and deleting information, data entry, read only, etc. in tables—*forms*(pages 137-138, page 527, lines 11-page 528, line 16). It would have been obvious to a person of ordinary skill in the art at the time of the invention to have combined the teachings of Broomhall, and Paradox to acquire said form, because this would provide the benefit of securely accessing the database application only by those authorized personnel, thereby, ensuring the integrity of the tables or forms stored in the system.

Claims 10-11 are directed towards a method equivalent to the steps found in claim 9, and therefore are similarly rejected.

Claim 12 is directed towards a program product stored on a storage medium for storing the steps found in claim 1, except for limitation of a current time coinciding with delegation term, which is not explicitly taught by Broomhall. However, it would have been obvious to a person of ordinary skill in the art at the time of the invention to have the user enter an expiration

time associated with the sponsored external user, because Broomhall teaches the changing and resetting of an expired password (col.8, lines 34-67), which would provide the benefit of allowing external users secure access to a database or application have enabled the user to input the user id and password into a form, thus providing the benefit of securely accessing the database/ application only by those authorized to do so for a specified period of time. Therefore, is similarly rejected.

Claims 13-14 are directed towards a program product stored on a storage medium for storing the steps found in claim 12, and therefore are similarly rejected.

Claims 16-18 are directed towards a program product stored on a storage medium for storing the steps found in claims 5-7, therefore are similarly rejected.

13. Claims 4, and 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Broomhall, in view of Paradox, and further in view of Atlas et al, hereinafter Atlas (Pat. # 5,848,413, 12/8/98, filed on 1/13/95).

Regarding claim 4, which depends on any of claims 1-3, Broomhall discloses an internal sponsor using an administrative engine for giving external users access to an internal database and Lotus applications for as long as a password for the external user(s) has not expired (col.3, lines 31-67, col.4, lines 59-col.5, lines 32, 42-67, col.7, lines 45-col.8, line 67, fig.3, 5, and 11). The sponsor requests the external user's id, and password by inputting personal information, such as name, telephone number, etc. into a form. Broomhall fails to explicitly disclose: *filling*

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*personal data of said application requester in said acquired first electronic form automatically.*

However, Atlas teaches automatically providing completions of form fields (col.2, lines 8-34, col.4, lines 1-37, and fig. 3-6). It would have been obvious to a person of ordinary skill in the art at the time of the invention to have combined the teachings of Broomhall, Paradox, and Atlas, Atlas teaches making text entry easier into a computer interface using autocomplete functions for automatically completing text entered into the in\*/\*9terface (col. 1, lines 38-60, and col. 2, lines 1-37).

Claim 15 is directed towards a program product stored on a storage medium for storing the steps found in claim 4, therefore is similarly rejected.

#### ***Allowable Subject Matter***

14. Claims 8, and 19 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

#### ***Conclusion***

I. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Bernardo et al. (Pat. # 6,684,369), Nishiyama et al. (Pat. # 6,421,693), Markus (Pat. # 6,499,042), Kennedy et al (Pat. # 6,651,217), Hitchcock (Pat. # 6,345,278), Daswani 2002/0023108, Wobber et al, " Authentication in the TAOS Operating System", ACM Trans. on Comput. Sys., vol.12, No.1, 2/1994, pp.3-32, Lampson et al, " Authentication in Distributed Systems: Theory and Practice", ACM Trans. on Comput. Sys., vol.10, No.4, 11/1992, pp.265-310, Bertino, E., " A Flexible

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**Authorization Mechanism for Relational Data Management Systems", ACM Trans. on Informat. Sys., vol.17, No.2, 4/1999, pp.101-140, Process-Driven Logon And Logoff As User-Driven", IBM TDB, vol.33, no.8, 1/1991.**

II. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Cesar B. Paula whose telephone number is (703) 306-5543. The examiner can normally be reached on Monday through Friday from 8:00 a.m. to 4:00 p.m. (EST).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Heather Herndon, can be reached on (703) 308-5186. However, in such a case, please allow at least one business day.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 305-3900.

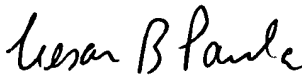
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**Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal Drive, Arlington, VA, Sixth Floor (Receptionist).**

  
CESAR B PAULA  
Patent Examiner  
Art Unit 2178

6/10/04